



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

<b>Applica</b>	tion of:	)		
		)	Art Unit:	2136
ick Tayl	lor et al.	)		
		)	Examiner:	C. Colin
ıl No.:	09/665,018	)		
		)	Docket No.:	05456.105007
l:	<b>September 19, 2000</b>	)		
		)	Conf. No.:	4902
Vulner	ability Assessment and	)		
Authen	itication of a Computer by a Local	)		
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	ick Taylal No.:  l:  Vulner Auther	l: September 19, 2000  Vulnerability Assessment and	ick Taylor et al.  id No.: 09/665,018  it: September 19, 2000  Vulnerability Assessment and Authentication of a Computer by a Local	Art Unit: ick Taylor et al.  Dexaminer: al No.: 09/665,018  September 19, 2000  Conf. No.:  Vulnerability Assessment and Authentication of a Computer by a Local

## INFORMATION DISCLOSURE STATEMENT ("IDS") WITH AUTHORIZATION TO CHARGE DEPOSIT ACCOUNT THE APPROPRIATE FEE TO CONSIDER THE IDS

Mail Stop Amendment Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Sir:

Pursuant to 37 C.F.R. §§ 1.97 and 1.98, Applicants hereby submit an Information Disclosure Statement ("IDS") for consideration by the Examiner. The patents, publications or other information submitted for consideration by the Patent Office are listed on Form PTO-1449, attached hereto. Submitted herewith is a legible copy of (i) each foreign patent; (ii) each publication or that portion which caused it to be listed; and (iii) all other information or that portion which caused it to be listed.

Except as may be indicated below, all of the patents, publications or other information are in the English language, a copy of which is attached hereto and therefore, a concise explanation of each reference is not required. The following additional information is provided for the Examiner's consideration.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on July 20, 2005.

Steven P. Wigmore, Reg. No. 40,447

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To assist the Examiner in reviewing this IDS, the Applicants have conducted a key word search of each U.S. patent and U.S. patent application publication listed on the attached Form PTO-1449. The Applicants used the following search terms in his query of the U.S. patents and U.S. patent application publications: (1) "(workstation\$ or computer\$)"; (2) "(credential\$ or authoriz\$)"; (3) "(polic\$ or virus\$ or rules\$)", and (4) "network\$." The Applicants used Boolean logic when performing this search in which each term was linked by the logical connector "AND." A search of these U.S. patents and U.S. patent application publications using the aforementioned terms and Boolean search logic yielded the following results (53 patents and 10 publications):

U.S. Patents
U.S. Patent No. 5,032,979 to Hecht et al.
U.S. Patent No. 5,371,852 to Attanasio et al.
U.S. Patent No. 5,414,833 to Hershey et al.
U.S. Patent No. 5,557,742 to Smaha et al.
U.S. Patent No. 5,623,601 to Vu
U.S. Patent No. 5,649,185 to Antognini et al.
U.S. Patent No. 5,787,177 to Leppek
U.S. Patent No. 5,796,942 to Esbensen
U.S. Patent No. 5,812,763 to Teng
U.S. Patent No. 5,832,208 to Chen et al.
U.S. Patent No. 5,832,211 to Blakley, III et al.
U.S. Patent No. 5,835,726 to Shwed et al.
U.S. Patent No. 5,838,903 to Blakely, III et al.
U.S. Patent No. 5,845,067 to Porter et al.
U.S. Patent No. 5,892,903 to Klaus
U.S. Patent No. 5,925,126 to Hsieh
U.S. Patent No. 5,940,591 to Boyle et al.
U.S. Patent No. 5,974,237 to Shurmer et al.
U.S. Patent No. 5,987,606 to Cirasole et al.
U.S. Patent No. 5,999,711 to Misra et al.
U.S. Patent No. 6,016,553 to Schneider et al.
U.S. Patent, No. 6,070,190 to Reps et al.
U.S. Patent No. 6,073,172 to Frailong et al.
U.S. Patent No. 6,092,194 to Touboul
U.S. Patent No. 6,119,234 to Aziz et al.
U.S. Patent No. 6,226,372 to Beebe et al.
U.S. Patent No. 6,275,942 to Bernhard et al.

U.S. Patents
U.S. Patent No. 6,279,113 to Vaidya
U.S. Patent No. 6,321,338 to Porras et al.
U.S. Patent No. 6,324,647 to Bowman-Amuah
U.S. Patent No. 6,347,374 to Drake et al.
U.S. Patent No. 6,405,318 to Rowland
U.S. Patent No. 6,405,364 to Bowman-Amuah
U.S. Patent No. 6,434,615 to Dinh et al.
U.S. Patent No. 6,453,345 to Trcka et al.
U.S. Patent No. 6,460,141 to Olden
U.S. Patent No. 6,484,203 to Porras et al.
U.S. Patent No. 6,487,666 to Shanklin et al.
U.S. Patent No. 6,496,858 to Frailong et al.
U.S. Patent No. 6,510,523 to Perlman et al.
U.S. Patent No. 6,517,587 to Satyavolu et al.
U.S. Patent No. 6,519,647 to Howard et al.
U.S. Patent No. 6,519,703 to Joyce
U.S. Patent No. 6,530,024 to Proctor
U.S. Patent No. 6,584,454 to Hummel, Jr. et al.
U.S. Patent No. 6,606,744 to Mikurak
U.S. Patent No. 6,647,400 to Moran
U.S. Patent No. 6,691,232 to Wood et al.
U.S. Patent No. 6,704,874 to Porras et al.
U.S. Patent No. 6,708,212 to Porras et al.
U.S. Patent No. 6,711,615 to Porras et al.
U.S. Patent No. 6,792,546 to Shanklin et al.
U.S. Patent No. 6,839,850 to Campbell et al.

U.S. Patent Application Publications	
U.S. Patent Application Publication No. 2002/0032717 to Malan et al.	
U.S. Patent Application Publication No. 2002/0032793 to Malan et al.	
U.S. Patent Application Publication No. 2002/0035698 to Malan et al.	
U.S. Patent Application Publication No. 2002/0083331 to Krumel	
U.S. Patent Application Publication No. 2002/0083334 to Rogers et al.	
U.S. Patent Application Publication No. 2002/0138753 to Munson	
U.S. Patent Application Publication No. 2002/0144156 to Copeland, III	
U.S. Patent Application Publication No. 2003/0088791 to Porras et al.	
U.S. Patent Application Publication No. 2003/0212903 to Porras et al.	
U.S. Patent Application Publication No. 2004/0010718 to Porras et al.	

The Applicants submit that these search terms cannot be interpreted as providing emphasis on these terms when the claims are interpreted and construed by both the Examiner and the courts. The Applicants merely selected these terms to identify the prior art that may be more relevant than prior art that do not contain these search terms.

To further assist the Examiner, the Applicants have organized each of the U.S. Patents and U.S. Patent Application Publications according to classification. For the non-U.S. patent prior art, the Applicants have annotated Form PTO-1449 with the location of each document in a respective box.

The Applicants exerted this additional time and effort to help the Examiner so that if a patent is ever issued on this patent application, third parties will understand that the Applicants submitted the attached prior art on a good faith basis. The Applicants recognize that the attached prior art is voluminous but it is not the Applicants' intent to "bury" any patents that maybe more pertinent than other ones. The Applicants do not want to dismiss any reference that he is aware of as cumulative in order to prevent third parties from arguing that the Applicants intentionally did not submit any prior art in an effort to deceive the Examiner and the Patent Office.

This IDS is being filed under 37 C.F.R. § 1.97(c)(2), before the mailing date of any of a final action under 37 C.F.R. § 1.113, a notice of allowance under 37 C.F.R. § 1.311, or an action that otherwise closes prosecution in the application. No certification is required. The Commissioner is authorized to charge the \$180.00 fee set forth in 37 C.F.R. § 1.17(p) to Deposit Account No. 11-0980. Please charge any additional fees pursuant to 37 C.F.R. §§ 1.16 or 1.17 to Deposit Account No. 11-0980.

Appl. No. 09/665,018 Information Disclosure Statement Docket No. 05456.105007

If the Examiner has any questions concerning this IDS, he is requested to contact the undersigned. If it is determined that this IDS has been filed under the wrong rule, the Patent Office is requested to consider this IDS under the proper rule (with a petition if necessary) and charge the appropriate fee to Deposit Account No. 11-0980.

Respectfully submitted,

KING & SPALDING LLP

Steven P. Wigmore, Esq.

Reg. No. 40,447

Tel. (404) \$72-4600

**Enclosures:** 

- 1. Form PTO-1449
- 2. Foreign Patents
- 3. Publications
- 4. Postcard



## LIST OF INFORMATION DISCLOSED BY APPLICANT (Use several sheets if necessary)

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	AA	5,696,486	12/9/97	Poliquin	et al.		340			
	AB	6,353,385	3/5/02	Molini et	al.		340			
	AC	5,353,393	10/4/94	Bennett e	t al.		345			
	AD	6,429,952	8/6/02	Olbricht			358			
	AE	5,748,098	5/5/98	Grace	,		370			
	AF	6,396,845	5/28/02	Sugita			370			
	AG	6,711,127	3/23/04		Gorman et al.		370			
	AH	5,734,697	3/31/98		Jabbarnezhad		379			
	AI	6,104,783	8/15/00	DeFino			379			, , <del>«</del> · ·
	AJ	6,226,372	5/1/01	Beebe et	al.		379			
	AK	6,445,822	9/3/02	Crill et al			382			<u> </u>
	AL	6,563,959	5/13/03	Troyanke			382			
	AM	6,618,501	9/9/03	Osawa et	•	· · · · · · · · · · · · · · · · · · ·	382			
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FORM PTO-1449, Adapted LIST OF INFORMATION DISCLOSED BY APPLICANT (Use several sheets if necessary) ATTY. DOCKET NO. SERIAL NO. FILING DATE 05456.105007 09/665,018 **September 19, 2000** APPLICANT GROUP 2136 Patrick Taylor et al. **U.S. PATENT DOCUMENTS** CLASS SUBCLASS FILING DATE EXAMINER DOCUMENT NUMBER DATE NAME IF APPROPRIATE INITIAL AN 6,628,824 9/30/03 Belanger 382 AO 6,647,139 11/11/03 Kunii et al. 382 AΡ 382 12/9/03 Sasich et al. 6,661,904 382 6,668,082 12/23/03 Davison et al. AQ AR 382 6,668,084 12/23/03 Minami 382 AS 6,792,144 9/14/04 Yan et al. 455 ΑT 9/6/94 Johnson et al. 5,345,595 455 ΑU 6,278,886 8/21/01 Hwang ΑV 5,210,704 5/11/93 Husseiny 702 AW 703 5,842,002 11/24/98 Schnurer et al. 703 AX 12/29/98 5,854,916 Nachenberg 12/7/99 703 ΑY 5,999,723 Nachenberg . 703 ΑZ 5/23/00 Nachenberg 6,067,410 704 BA 5,864,803 1/26/99 Nussbaum FOREIGN PATENT DOCUMENTS TRANSLATION DOCUMENT NUMBER DATE COUNTRY NAME YES NO. OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.) **EXAMINER DATE CONSIDERED** EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449, Adapted LIST OF INFORMATION DISCLOSED BY APPLICANT (Use several sheets if necessary) FILING DATE SERIAL NO. ATTY. DOCKET NO. 05456.105007 09/665,018 September 19, 2000 APPLICANT GROUP 2136 Patrick Taylor et al. **U.S. PATENT DOCUMENTS** CLASS SUBCLASS FILING DATE EXAMINER DOCUMENT NUMBER DATE NAME IF APPROPRIATE INITIAL BB6,014,645 1/11/00 Cunningham 705 BC 6,584,454 6/24/03 Hummel, Jr. et al. 705 706 10/7/97 BD 5,675,711 Kephart et al. 706 5,907,834 BE 5/25/99 Kephart et al. 707 BF 7/15/97 5,649,185 Antognini et al. 707 1/5/99 BG 5,857,191 Blackwell, Jr. et al. 707 BH3/2/99 de la Salle 5,878,420 5/4/99 707  $\mathbf{BI}$ 5,899,999 De Bonet  $\mathbf{BJ}$ 6,144,961 11/7/00 de la Salle 707 12/12/00 707 BK 6,161,109 Matamoros et al. 707 8/28/01 Gleichauf et al. BL 6,282,546 707 10/8/02 Lipson et al. · BM 6,463,426 FOREIGN PATENT DOCUMENTS TRANSLATION DOCUMENT NUMBER DATE COUNTRY NAME YES NO. OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.) **EXAMINER DATE CONSIDERED** EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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DI	2002/0032793	3/14/02	Malan et al.		709						
DI	E 2003/0037136	2/20/03	Labovitz et al.		709						
Di	F 4,400,769	8/23/83	Kaneda et al.		710						
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D	к 5,032,979	7/16/91	Hecht et al.		713						
D	L 5,121,345	6/9/92	Lentz		713						
D	M 5,204,966	4/20/93	Wittenberg et al.		713						
D	N 5,274,824	12/28/93	Howarth		713						
D	O 5,278,901	1/11/94	Shieh et al.		713						
D	P 5,311,593	5/10/94	Carmi		713						
D	Q 5,359,659	10/25/94	Rosenthal		713						
D	R 5,414,833	5/9/95	Hershey et al.		713						
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FORM PTO-1449, Adapted LIST OF INFORMATION DISCLOSED BY APPLICANT (Use several sheets if necessary) SERIAL NO. FILING DATE ATTY. DOCKET NO. 05456.105007 09/665,018 September 19, 2000 GROUP APPLICANT 2136 Patrick Taylor et al. **U.S. PATENT DOCUMENTS** SUBCLASS FILING DATE NAME CLASS EXAMINER DOCUMENT NUMBER DATE IF APPROPRIATE INITIAL 713 DT 5,557,742 9/17/96 Smaha et al. 713 DU 5,586,260 12/17/96 Hu 2/25/97 713 Shwed DV 5,606,668 713 4/22/97 Ji et al. DW 5,623,600 713 4/22/97 DX 5,623,601 Vu 713 Nachenberg 5,696,822 12/9/97 DY 713 6/2/98 Corrigan et al. DZ5,761,504 713 6/9/98 Kells et al. EA 5,764,887 6/9/98 713 EB 5,764,890 Glasser et al. 713 7/28/98 Leppek EC 5,787,177 713 8/18/98 Esbensen ED 5,796,942 713 8/25/98 Kraemer et al. EE 5,798,706 713 9/22/98 EF 5,812,763 Teng 713 Fortinsky 5,815,574 9/29/98 EG 713 5,822,517 10/13/98 Dotan EH FOREIGN PATENT DOCUMENTS TRANSLATION COUNTRY NAME DOCUMENT NUMBER DATE YES NO. OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.) **DATE CONSIDERED EXAMINER** EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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FORM PTO-1449, Adapted

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EXAMINER INITIAL	DOCUMENT NUMBER	DATE		NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE			
FK	6,088,803	7/11/00 Tso et al.			713		,			
FL	6,088,804	7/11/00	Hill et al.		713					
FM	6,092,194	7/18/00	Touboul		713					
FN	6,098,173	8/1/00	Elgressy e	t al.	713					
FO	6,119,234	9/12/00	Aziz et al.		713					
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	JC	WO 02/006928	01/24/02	PCT		vCIS, Inc.						
	Ъ	WO 00/054458	09/14/00	PCT		Psionic Software,	Inc.					
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	JН	WO 00/02115	01/13/00	PCT		PRC Inc.						
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	JK	WO 98/41919	09/24/98	PCT		Trend Micro, Inc.						
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FORM PTO-1449, Adapted LIST OF INFORMATION DISCLOSED BY APPLICANT (Use several sheets if necessary) ATTY. DOCKET NO. SERIAL NO. FILING DATE 09/665,018 September 19, 2000 05456.105007 APPLICANT GROUP **BOX 1/4** Patrick Taylor et al. 2136 **U.S. PATENT DOCUMENTS** SUBCLASS EXAMINER DOCUMENT NUMBER DATE NAME CLASS FILING DATE IF APPROPRIATE INITIAL FOREIGN PATENT DOCUMENTS TRANSLATION DOCUMENT NUMBER COUNTRY DATE YES OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.) Vangala et al., "Software Distribution and Management in a Networked Environment," Proceedings of the LM Sixth Systems Administration Conference, October 19-23, 1992, Long Beach, California, pp. 163-170. Kim et al., "The Design and Implementation of Tripwire: A File System Integrity Checker," 2nd ACM LN Conference on Computer and Communications Security, November 2-4, 1994, Fairfax, Virginia, pp. 18-29. Winn Schwartau, "e.Security TM-Solving 'Dumb Days' With Security Visualization," e-Security, Inc., Naples, LO FL 34103, 2000. Anita D'Amico, Ph.D., "Assessment of Open e-Security Platform™: Vendor-Independent Central Management LP of Computer Security Resources," Applied Visions, Inc., 1999. "e.SecurityTM-Open Enterprise Security Management: Delivering an integrated, automated, centrally Managed LO Solution You Can Leverage Today and Tomorrow," e-Security, Inc., Naples, FL 34102, 1999. LR "e.Security TM-Vision," e-Security, Inc., Naples, FL, 1999. "e.Security™ -Administrator Workbench™," e-Security, Inc. Naples, FL, 1999. LS "e.Security<sup>TM</sup>-Fact Sheet," e-Security, Inc., Naples, FL, 1999. LT "e.Security™-Open e-Security Platform™," e-Security, Inc. Naples, FL, 1999. LU Babcock, "E-Security Tackles The Enterprise," July 28, 1999; Inter@ctive Week, www.Zdnet.com. LV Kay Blough, "In Search of More-Secure Extranets," November 1, 1999, www.InformationWeek.com LW Paul H. Desmond, "Making Sense of Your Security Tools," Software Magazine and Wiesner Publishing, LX www.softwaremag.com, 1999. Kay Blough, "Extra Steps Can Protect Extranets," November 1, 1999, www. InformationWeek.com LY

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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in	EXAMINE	ER	<u> </u>								

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		OTHER	FFERENC	FS (Including	Author, Title, Date, Pe	ertinent Pa	ges, Etc.)	TES NO.			
	VY	"Internet Scan	ner™, User	Guide," Versio	n 5.3, © 1992-1998, Ir	nternet Seco	urity Systems,	Inc. pgs. 1-173.			
	VZ "Real Secure, Console User Guide," Version 5.5, © 199?-2000, Internet Security							ns, Inc., pgs. 1-162.			
	WA	"Internet Scanner™, User Guide," Version 5.8, © 1999 by Internet Security Systems, In						c., pgs. 1-148.			
	WB	"SAFEsuite D	"SAFEsuite Decisions, User Guide," Version 1.0, © 1992-1998, Internet Security Systems, In								
	wc	"Real Secure"	"Real Secure™, Console User Guide," Version 5.0, © 2000 by Internet Security Systems, Inc., pgs. 1								
	WD	"SAFEsuite D	"SAFEsuite DECISIONS, User Guide," Version 2.5, © 2000 by Internet Security Systems, Inc., pgs. 1								
	WE	"System Scan	ner, User Gu	ide," Version 1	7, © 1992-1998, Inter	rnet Securi	ty Systems, In	c., pgs. 1-248.			
	WF	"Sytem Scanr	ner, User Gui	de," Version 1.	0, © 1996-1998, Intern	net Security	y Systems, Inc	c., pgs. 1-140.			
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WH Internet Security Systems, Inc., "Introduction to RealSecure Version 5.0, The Industry' Based and Network-Based Intrusion Detection System", August 22, 2000, pp. 1-47							he Industry's pp. 1-47	Only Integrated Ho			
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	WL	Internet Secu Analysis", an	rity Systems, ISS White F	Inc., "Enhance Paper, 2002, pp	Enhanced Dynamic Threat Protection via Automated Correlation and 2002, pp. 1-14						
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